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**POLICY AND PROCEDURES MANUAL
DEPARTMENT OF COMPUTER SCIENCES**

John R. Rice

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Revised December 1, 1995

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Chapter 1

CHARGES

1.1 Copying Procedures

Revised: February, 1992; September, 1995

A. Personal Copies

- No personal copying for people not housed in the CS building or CS offices in the Math building!
- Personal copying can be done only when a copy machine is available and at a charge of 5 cents per copy.
- All copying submitted by TA's and RA's **MUST** be accompanied by a request form indicating a research account number or a class number. If no number is listed you will be charged five cents per copy.

B. Procedures

- All non-personal copies will be charged for at the standard university rate. There are a few (currently the two in CS 164 and CS 204) copiers where charges are itemized. Copies made on all other copiers will be charged to an account of the owner of the copier. Charges will be made each month for the total number of copies made.
- Bulk copying (300 pages or more) are to go to printing services. Allow at least 48 hours for copying.
- Pickup times by Printing Services for the CS building is 11:00 a.m. and 1:47 p.m. Orders should be given to the copying operator by 10:30 a.m. and 1:15 p.m.

- Any copying job submitted after 4:30 p.m. might not be completed until the next day. That may mean that jobs submitted late on Friday afternoon might not get done until Monday morning.
- There is no guarantee that last minute orders will be completed by the time requested.
- Jobs consisting of one page are limited to 100 single copies (more at the discretion of the operator).
- All requested transparencies submitted by graduate students (for a one time use) will be made on the thermo fax machine. This is less costly than using the copy machine transparencies.
- Books: Copying will not be allowed if there is any doubt about copyright violations.
- If the material being copied is for a research or thesis project, then the advisor/professor must submit the material for copying. Graduate students may copy excerpts from books themselves. A charge of two cents per page is made and this may be done only when the copier is free.

1.2 Telephone Calls

Adopted 1989, Revised: June, 1993; September, 1995

A. Telephone Equipment

The Department provides a single, University-standard phone line and handset for each faculty office. Additional phone lines or optional features, such as voicemail, must be charged to a research or other non-department account.

B. Personal Long Distance Calls (Including FAXes)

They are not allowed at all. Recall that recently a Purdue employee was summarily fired because, among several misdeeds, he used the Purdue system for personal calls.

HOWEVER: It is permissible to use the MERS system and then reimburse the department on a monthly basis for your personal calls. The advantages to you are:

- More convenient, you need only jot down the date and place called for your records.
- Cheaper, MERS calls are much cheaper than using your credit card from a campus phone.

C. MERS Numbers for Long Distance

Each permanent faculty member and designated staff members will have a single, permanent MERS number assigned. If a person has a normal research grant (or is supported by one) then calls using this MERS number are charged to the grant. Otherwise, the calls are charged to a department account.

D. Department Long Distance Calls (Including FAXes)

- Long distance calls may be paid by the department for teaching and administrative purposes. A brief record of the "who and/or why" of the call should be maintained.
- Faculty may transfer charges from research funded MERS numbers to department accounts by identifying the calls on the monthly telephone statements.
- The department will pay up to \$70/year of long distance calls for faculty without complete records or any auditing. If more than \$70/year is charged to the department then records must be maintained and provided from time to time to the business office. If more than \$120/year is charged to the department then the records will be audited from time to time and more substantial justification may be required. Charges for FAXs are included in these limits.

E. Research-Related Long Distance Calls (Including FAXes)

If you make a call related to your research and IF you have a research grant THEN

- You should get a MERS number for the grant.
- You should use it for research related calls.

F. Calls from Home

If you are at home and IF you have a Purdue credit card THEN

- You should **not** use the Purdue credit card for business calls from home.
- You should call the Purdue operator, give your MERS number and place the call through Purdue.

SHORT CALLS COST 5 TO 10 TIMES AS MUCH ON A CREDIT CARD AS THROUGH THE MERS SYSTEM.

1.3 Mailing Procedures

Revised: 1991, 1995

- Make sure the person sending mail has his/her name on return address section of envelope.
- Mail will be charged to research accounts unless otherwise specified.
- Please specify what rate you wish your mail to be sent. If you do not specify mail will be sent first class for U.S. and Air Mail for overseas. Large or heavy items such as books, technical reports, etc., will be sent book rate/fourth class for U.S. and A.O. rate for overseas mail.
- Mail brought in before noon will be sent out same day. Any mail metered after 12:00 noon will be dated and sent out the next day.
- Except for large bulk mailings, all mail on Friday is taken to the post office at 4:30 p.m. by one of the secretaries. Please have all mail submitted by 3:30 p.m. if you wish it to be sent out. **PLEASE NOTE:** Secretaries volunteer to do this — please do not take advantage of their willingness to do so by mailing large volumes on Friday afternoon.
- All large and/or bulk mailings should be brought in by 12:00 noon on Fridays. If these mailings must go out after 12:00 noon on Friday, be prepared to take these to the post office yourself. **NO large personal packages** will be taken with the mail to the post office on Friday afternoons.
- **Federal Express** packages will be charged to research contracts unless otherwise authorized. Blanket authorization is given to charge grant proposals and fellowship nominations mailing to the department.

1.4 Meals for Visitors

Adopted 1991, Revised: March, 1993

The following guidelines apply to lunches and dinners paid from department funds. Exceptions must be approved *in advance* by the department head. It is the responsibility of a visitor's host to a) make arrangements for meals and b) see that these guidelines are followed. Note that meals *cannot be paid* from regular university funds — including government or industrial contracts and gifts. If you have a special situation of any kind, arrangements must be made *in advance*.

Note: Meals are paid from the PRF account. It is hard to replenish funds from this account; transfers from regular university accounts cannot be made to this account.

Note: Exceptions to these guidelines must be authorized *in advance*.

The term *visitor* is used for anyone from off-campus who is a scientific colleague whether from academia, government, or industry. It does not include salesmen, publisher representatives, or Purdue employees. Note also that government employees are strictly forbidden from receiving even free meals. This rule is not strictly adhered to by all, but be cautious, especially when dealing with representatives of government funding agencies.

The authorized amounts listed below include the visitor (overruns are to be paid personally):

AUTHORIZED AMOUNT		
Category	Lunches*	Dinners (total)
1. Distinguished Lecturers	\$36(6)	\$175
2. Regular Colloquia**	\$24(4)	\$80
3. Interviewee	\$24(4)	\$100
4. Non-speaker** (on campus 1 day +)	\$18(3)	0
5. Long term visitor** (2 weeks +, farewell)	\$24(4)	0
6. Funding source representatives	\$24(4)	\$40
7. Prospective graduate students	\$24(4)	0
(Authorized by W.J. Gorman)		

* Lunches may be charged directly to the department if the Sagamore Room or John Purdue Room is open, if this is done use the number of people listed in parentheses.

** Each faculty member host will be reimbursed at most for three visitors per year in these categories.

1.5 Moving Expenses

Adopted January, 1990

The actual mechanics for reimbursement are complex so we (a) list 5 items that most often cause difficulty and (b) attach the official university guidelines used by the business office in processing claims. Note that Purdue's intent is to pay only for moving normal household goods (no boats, etc.).

- *Estimates:* Obtain at least two written estimates even if it appears that all ways of moving something cost the same (e.g., cost to air freight books from Tel Aviv to W. Lafayette). If there is only one possible way to move something (e.g., only one truck rental company within 100 miles of where you live, books carried as excess baggage on an airplane), try to document this as much as possible.
- *Receipts:* Get the most "official" looking pieces of paper possible.

- *Being Economical:* Do not assume that saving money on moving will be allowed. Examples: 1) You rent your cousin's truck for half the cost of a U-Haul or Ryder truck. You could have trouble being reimbursed, even if you have written estimates from U-Haul, Ryder, and your cousin. 2) You pull a trailer across the country for six days (costs = \$200 trailer + \$250 motels + \$240 food + \$360 gasoline = \$1,050) instead of driving in three days and using a moving company (costs = \$100 motel + \$120 food + \$240 gasoline + \$3,000 moving company = \$3460). You will probably be reimbursed \$200 the first way and \$3,000 the second way. 3) You can store your furniture in a "Storage Inn" for three weeks (cost = \$48) and then share a moving truck with a friend who is also moving from Los Angeles to W. Lafayette (savings = \$325). You are unlikely to be reimbursed for the \$48 Storage Inn rental.
- *Unusual Items:* Reimbursements tend to be made for items from a (short) list of "allowable" items. Costs that may be absolutely essential to the move might be disallowed. Costs that are unusual or from events over which you have no control, such as the following examples, occur rather often and are usually not reimbursable. Double check the reimbursability of anything not obviously implied by the university's official document.
 - 1) A plumber is required to disconnect your washing machine from the faucets because of rust.
 - 2) A mover will unload your furniture in the K-Mart parking lot unless you pay \$150 in extra expenses because (a) he arrived 4 days early at 6:00 PM on the Friday before Labor Day, (b) you have only 1 day (besides Sunday) to unload the van, and, (c) the real estate company you rented your house from is closed until the Tuesday after Labor Day. You probably will not be reimbursed for the costs of renting a storage place for a few days either.
- *Moving Allowance Limit:* The fact that you have spent much less than the limit allowed you does not mean that any less stringent procedures will be used in your reimbursement.

The employment offer letter uses the statement

"We will arrange to reimburse you for your expenses in moving your normal household goods from XXXX to West Lafayette up to a limit of \$YYYY. Please request guidelines and procedures for moving expenses before making final arrangements." to suggest that (a) only belongings are moved, and (b) there are various rules and regulations to be taken into account.

The following is a complete quote of the guidelines that the business office will use in processing a claim. Deviations from these guidelines require written approval in advance.

Steven Beering, President of Purdue University, August 10, 1988: Whenever moving expenses for incoming new faculty or staff are to be made, the following procedures should be followed.

Payment of Personal Moving Expenses

- a. Secure at least two written estimates of the approximate cost.

- b. Submit a written request to the Dean or Executive Vice President for Academic Affairs. This request should include the maximum dollar amount, the source of funds to be charged, and the reason the department or school believes the request is appropriate. Copies of the approved memorandum should be distributed to the department or school and the Purdue Research Foundation Business Office.
- c. Once the move takes place, the actual vendor invoices or receipts should be processed through normal channels to the Purdue Research Foundation Business Office for payment from the appropriate discretionary funds.
- d. Individuals who are reimbursed for moving expenses of \$600 or more will receive an IRS form 4782 entitled "Employee Moving Expense Information" and an IRS form 1099 at the end of the year.
- e. The following are items normally reimbursed and included in moving expenses:
 The personal household effects for the new employee (including packing, moving, unpacking).
 If the employee is moving their household effects with a U-Haul type truck, the rental of that truck plus the gasoline to drive it to the University area may be included.
- f. The following expenses are not normally reimbursed by the Purdue Research Foundation:
 Gasoline or auto expenses in driving the new employee and his/her family to the University area.
 Lodging for the new employee and family while in transit to the University area.
 Storage for furniture or personal effects prior to or after the move to the University area.
 Meals while in transit to the University area.
 Other personal effects such as boats, campers, and automobiles are not eligible for payment.

1.6 Signature Authority

Adopted 1987, Revised: June, 1993; December, 1995

Department Head: John R. Rice _____

Associate Department Heads: Mikhail J. Atallah, Wayne R. Dyksen _____

Authorized to sign all forms.

Assistant to the Department Head: William J. Gorman _____

Authorized to sign all forms. Generally used only in absence of department head and associate heads except for matters relating to students, graduate school, registrar, etc.

Business Administrator: XXXX _____

Authorized to sign all forms relating to business and financial affairs of the department with amounts less than \$10,000.

Director of Research Facilities: John T. Korb _____

Authorized to sign purchase requisitions (Form 12) up to \$10,000, invoice vouchers (Form 56), Property Accounting (Form 9), Change of Status of Equipment and Permission to take Equipment off Campus.

Facilities Manager: R. Gregory Kapp _____

Authorized to sign purchase requisitions (Form 12) up to \$2,000, invoice vouchers (Form 56), Property Accounting (Form 9), Change of Status of Equipment and Permission to take Equipment off Campus.

Administrative Asst. to Dept. Head: Paula Perkins _____

Business Office Clerks: Phyllis Ferguson _____

Patricia Morgan _____

Diane Beasley _____

Authorized to sign the following with amounts up to \$250: Form 100 (purchase office supplies), Printing Services, University Vehicle form, Parking Permit applications, Time cards, Property Accounting (Forms 9 and 12), Audio-Visual forms, Forms 18 and 18A (repairs on building, make keys, etc.), Form 77 (telephone order/repair), P-59-1 (Request for Estimate).

1.7 Visiting Scholar Expenses

Adopted April, 1993

This policy states who pays for special expenses of Visiting Scholars. Our offer letters say they will be provided with an office, normal secretarial services, and access to computing. By "normal", it is meant services like typing letters, mailing letters, ordinary copying, basic office supplies and similar services. Not included are:

- long distance calls and FAXes (off-campus)
- mailing large packages
- extensive copying (printing services)
- copy cards (library)
- Federal Express
- heavy duty computing
- travel

and similar expenses. The Visiting Scholar's host is responsible for these expenses in that they are paid by the host's funds (e.g., government contracts, gift funds, seed funds).

Chapter 2

EQUIPMENT TAKEN OFF CAMPUS

2.1 Faculty

Adopted 1992

Short Term. Equipment may be taken off campus for short periods with the authorization of the faculty or staff member responsible for the equipment. Examples of such use are:

- presentations at a conference or workshop,
- visit to a research collaborator or special site,
- brief illness or injury confining researcher at home,
- pregnancy or new born child,
- repairs or upgrading.

Examples of responsible persons are:

- purchaser of the equipment from a research grant,
- manager of departmental computing facilities,
- person responsible for the lab in which the equipment is normally located.

At Home. Regular faculty and staff members are, in general, allowed to have one university owned computer system at home for university purposes (research, teaching and administration). Such equipment is purchased by research funds or by funds specifically allocated to the faculty member for his personal use (e.g., set up funds for a new faculty member). A computer system may consist of several items, e.g., monitor, printer, keyboard, modem, upgrade boards, CPU, ...

Hand held (palm top) computers are not considered to be located at any one location and thus are not counted as being "at home".

Authorization. The Manager of the Computer Facilities authorizes off campus equipment under the provisions above. Additional authorizations may be made by the Department Head. Written explanation of the reasons for taking additional equipment off campus is required.

2.2 Graduate Students

Adopted 1992

Equipment may be taken home by graduate students under the following circumstances:

Prolonged illness — We will attempt to secure equipment on a temporary basis for use at home due to illness. If a graduate student is recovering from a serious illness or requires rest at home for an extended period of time, Facilities will try to provide a terminal and modem for use at home.

Advisor purchase of equipment — The faculty advisor of a graduate student may provide equipment for a student which constitutes an integral part of the research project of the advisor. Such equipment will normally be used equipment of nominal or no resale value either from earlier grant purchases or purchased from others. Such equipment remains assigned to the faculty advisor and his responsibility for it is the same as for other equipment purchased by grants.

For these specific conditions, approval is required from the Facilities Director and Manager. Circumstances other than the above requires the approval of the Department Head for temporary home use of equipment by graduate students.

Chapter 3

LABORATORIES

3.1 Educational Laboratories and Equipment

Adopted 1987

Each educational laboratory and/or piece of equipment is normally assigned to a faculty member who is responsible for the use and status of the lab and/or equipment and for its proper educational use. Appropriate assistance will be provided by the facilities staff and by teaching assistants.

In return for accepting this responsibility, the faculty member has wide latitude and flexibility for the operation of the laboratory and/or equipment. However, the department has ultimate responsibility for the educational program and for the use, assignment and management of educational labs and/or equipment.

3.2 Keys

Adopted 1989, Revised: June, 1993; November, 1995

All keys are obtained from the Building Deputy who provides keys according to the following policy.

- **Master Keys: Administrative**

Certain administrators require general access to the building:

- Department Head
- Associate Department Heads
- Assistant Department Head
- Director of Research Facilities
- Business Administrator
- Building Deputy

- **Master Keys: Technical.**

Certain "technicians" require general access to the building to carry out various operational duties.

Facilities Manager - (Kapp)

Building Engineers - (Buetel, Davis and Zone Maintenance Crew)

Facilities Staff, Hardware - (Blank and Board)

Facilities Staff, Software - (Trinkle)

PUCC Staff - (Ahlen)

- **Special Keys.**

A. FACULTY AND STAFF

front door	101 (conference room)
279 (output)	164 (secretarial/FAX/printer/copier)
G73 (terminal room)	122 (secretarial/printer)
230 (lounge)	222 (secretarial/printer)

B. STUDENT

No. 1 (pre-qualifiers)	front door
No. 2 (post-qualifiers)	front door, 279 and G73

C. LABS: Each laboratory has a person designated as responsible for that lab (see space assignment policy). This person authorizes keys for the lab.

D. ADMINISTRATION: All doors in 202 complex.

3.3 Space Assignments

Adopted 1985, Revised: June, 1993; November, 1995

Space assignments are made in laboratories by the Department Head for research use, educational use or for the facilities staff. *No assignments made are permanent.*

In evaluating the need for research space, the Department Head will normally consider only the personnel paid by external research funds and equipment the research project head has. Equipment is assigned to faculty for their own use if (a) their research funds paid for the equipment or (b) they were given funds by the university to buy the equipment (e.g., set up for new faculty or seed fund awards). In particular, graduate students supported by teaching (although they may be given space in a lab after it is assigned to a faculty member) and undergraduates are not normally considered as part of the justification for research lab space.

The laboratories and their current assignments are:

Research Laboratories

Room Number	Project	Assignment
G14	Parallel Computing	Marinescu
G16	Geometry	Hoffmann
G18	Computer Security	Spafford
G62	SERC	Mathur
111	CS&E	Houstis
115B	VR-lab	Vanecek
145	RAID	Bhargava
151	SHASTRA	Bajaj
214	Parallel Algorithms	Hambruch
254	Parallel Computing	Rego
256	ELLPACK	Rice
266	SoftLab	Houstis
274	Cypress/Systems	Comer
279	Geometric Modeling	Peters
Math 431	InterBase	Elmagarmid

Educational Laboratories

Room Number	Equipment	Assignment
G40	PC Lab	King
G50	PC Lab	King
G56	Workstations	Korb
175	Graphics	Dyksen
257	Dual PCs	Comer/Korb

Classrooms: G66

Facilities: G25, G30, G73, 140, 207, 209, 210, 220, 264, 271, 273, 275, 277, Math 419.

3.4 Research Computing

Adopted May 1986, Revised June, 1993

• **POLICIES**

- A. Regular faculty members and staff of the CS department will not have their computing opportunities reduced because of research computing charges. They will comply to the policies about the use of research funds and the normal limits on "hogging" resources.
- B. Students will receive allocations that are commensurate with their expected level of use of the facilities. They will not, in general, receive unlimited use of the machines.

- C. Temporary users (visiting scholars, for example) will be considered individually.
- D. Faculty with research contracts will ask funding agencies for a reasonable level of computing support. Reasonable will, of course, depend on the nature of the project. The following guidelines will be used:
 - (i) \$2,000 per year for computing is to be included in the budget for each active researcher.
 - (ii) Groups with substantial, dedicated machines will budget for amounts reflecting somewhat the level of services (software, supplies and maintenance) provided by the facilities staff.
 - (iii) People with "isolated machines" may contract with the department facilities staff to have certain services provided at a mutually agreeable cost.

• PROCEDURES — CHARGES

- A. Charges are based on CPU time alone. The rate will be in terms of dollars per VAX 8600 hours (other machines will have conversion factors). The charge per hour is set each year based on costs.
- B. Accounting of CPU time is made as follows:
 - 1. *Shared Machines*. Have an accounting that provides CPU use per user ID.
 - 2. *Workstations*. Have no accounting of use. The "owner" of the machine is charged on an estimated use of the machine.
 - 3. *Smart Terminals*. Have no accounting and users normally are on another machine along with it. This is treated like a dumb terminal and no charge is made for time on it.
 - 4. *Isolated Machines*. Machines not on the CS network and not receiving normal support from facilities staff. No time based charges are made. Particular support services may be negotiated with the facilities staff.
 - 5. *Utility Machines*. Machines providing services of a general nature, but which no one uses as the primary machine to do his work (e.g., network gateways, file servers, printers). No charge made for their use.

• PROCEDURES — ACCOUNTS

- A. Each user has a computing "budget". Funds may come from the CS Department, research contracts, other departmental accounts or outside accounts. The costs for each month are prorated proportionally according to account balances in the individuals budget. Only the CS Department portion is allowed to become negative. Financial accounting is done once a month; a user has one month to remove negative balances before his account is canceled or frozen.
- B. Faculty and staff members fill out a form showing the computing budget broken down by sources. The CS Department allocation is approved by the department head or his designated deputy.

- C. Students fill out the same form. Each budget item must be approved by a faculty member. Amounts approved are commensurate with the purpose stated on the form.
- D. Others (visitors, people from other departments, etc.) are handled on an individual basis.

- *PROCEDURES — FINANCIAL ACCOUNTING*

- A. Once a year (normally August) each faculty and staff member: Fills out the account budget form with estimated use for the next period. The forms provided have default amounts indicated. Three times a year (normally August, January, and May) each faculty and staff member signs a form certifying that the amounts charged for computing for the previous period are correct (this procedure fulfills contract audit requirements). These forms come along with the PARs. Project PI's must sign for everyone using the account.
- B. When accounts become negative, then a new account budget form is required for continued computing.

3.5 Use of Computing Facilities

The computing facilities in the department are operated by the Computer Science Department facilities staff. Use of these facilities is governed by a policy described in the document "Policy on Access and Usage" made available to all people who have accounts. This document may be accessed online from any of the UNIX systems using the "help" command:

% help policies access_and_usage

Other computing-related policies are made by the University, most notably policies on electronic mail and World Wide Web publishing. Current copies of these policies are also accessible using the help command (e.g., "help policies email").

Chapter 4

PERSONNEL AND EMPLOYMENT

4.1 Faculty Applications

Adopted March, 1992

Application folders contain information about individuals who have applied for employment in the department. This information, including letters of application, letters of reference, and evaluations of candidates by members of the department is considered confidential. Likewise, the list of applicants and their status is also confidential.

Members of the personnel committee have access to the application folders for use in their evaluation of candidates. The personnel committee may pass a folder to other tenure-track faculty for evaluation. Personnel applications may only be discussed among tenure-track faculty in the department.

In addition to members of the personnel committee, the contents of application folders are available to tenure-track faculty. However, to emphasize the confidential nature of the information, a faculty member who wishes to review the contents of a folder must obtain the folder from the department administrative assistant and return the folder before leaving the departmental administrative area. Faculty may not take any folder to their office or out of the department without express approval of the personnel committee or department head. No one may browse through application folders; they must be obtained individually from the administrative assistant. Naturally, no one may delete, insert, or alter items in these folders without the knowledge and approval of the personnel committee or department head.

4.2 Graduate Student Employment

Adopted 1995

- The department hires graduate students for grading, supervising labs, assisting with facilities, administering courses, etc. Unless otherwise agreed in advance, such employment is

guaranteed to continue for three academic years provided (a) the student's academic progress is satisfactory, and (b) the student's work performance is satisfactory.

- Faculty might also hire graduate students as research assistants who are not in competition for normal department support. Faculty are expected to honor an offer or commitment of research support made to a student. If, for whatever reason, a faculty member cannot honor a commitment or the commitment ends, then the student must follow the standard procedure in applying for department support. No special considerations will be given to these students except to honor, if applicable, the three year guarantee of support given with initial appointments.

4.3 Postdoctoral Appointments

Adopted 1994

Postdoctoral appointments will be made on an academic year basis. Such appointments may include guarantees of additional summer support.

4.4 Summer Pay Policy for Academic Year Faculty

Adopted, August 1993

Academic year faculty may be employed during the summer for up to 12 weeks, providing they have funding to cover that amount of time. It is the *faculty member's responsibility* to determine and establish the sources of funding for the summer salary. NSF will allow only .222 of AY salary to be paid during the summer from all NSF sources. So if a PI has only NSF funding, only the amount of time equivalent to .222 of the AY salary (this is approximately 8+ weeks) can be paid in the summer. DOD allows summer employment of 10 weeks (25% of AY salary) from any one grant or contract. Providing research funds are available from more than one agency, a PI can receive a maximum of 12 weeks pay. The PI's use of gift funds towards summer support when being paid more than 10 weeks requires approval of the Executive Vice President for Academic Affairs (Dr. Ringel). This is normally allowed if the gift funds are for the PI's research.

Academic year faculty do not earn vacation time, therefore they may not take vacation while they are in pay status. If a faculty member is being paid 12 weeks of summer, this leaves only 1-2 weeks for vacation time, depending on the university calendar.

The Executive Vice President for Academic Affairs does not allow departments to pay faculty on departmental funds unless that faculty member is teaching during the summer or there is a contractual agreement providing for summer pay (e.g., in initial employment offers).

In March or April the CS business office asks the faculty if they are planning to work in the summer, how many weeks they will be working, the sources of funding, and what times during the summer they will be taking vacation, traveling away from campus on university business, etc. If a faculty member is in pay status and away from campus, it is very important that the absence be documented with a Form 17 (Travel Request) and/or a Form 33 (Leave of Absence, for more than

10 consecutive working days). If the absence is due to consulting activities, then a Form 33A must be submitted.

Chapter 5

PROMOTIONS

5.1 Appointment, Promotion and Retention

Adopted 1971, Revised April, 1989

The Computer Science Department is committed to being a strong center in Computer Science. Consistent with its commitment to strong research and teaching, it has adopted this policy on appointment, promotion and retention:

- I. Appointment to, and promotion within the Department is made only when this contributes to excellence. This policy conforms with the policies and procedures of Purdue University.
- II. The Department expects every faculty member with teaching assignments to perform at a satisfactory level in teaching and to recognize that inferior teaching will preclude promotion or reappointment. Superior teaching will aid in promotion and retention.
- III. The normal procedure for the appointment, reappointment or promotion of an Assistant Professor who has no prior probationary service is as follows:

The original appointment is normally for three years. Before May 1 of the second year of appointment, one of the following actions is taken: a) a further appointment of one year (the fourth) is made or b) notification is given that the third year is terminal. Normally, action (a) is taken. Before May 1 of the third year, one of the following actions is taken: a) a second three year appointment is made beyond the fourth year for a maximum total probationary period of 7 years as Assistant Professor, or b) notification is given that the fourth year is terminal. Before May 1 of the sixth year, one of the following actions is taken: a) promotion to Associate Professor or b) notification is given that the seventh year is terminal.

Assistant Professors whose appointments begin in January are treated the same as those whose appointments began the previous August.

Under very exceptional circumstances, tenure may be granted without promotion to Associate Professor.

An Assistant Professor may be promoted earlier than the sixth year if the Department considers this warranted and the University concurs.

- IV. Prior probationary service at Purdue is defined by university regulations; generally it is full time appointment at the rank of instructor or higher. An individual who has had a full time faculty appointment at another college or university may be credited with up to four years of prior service. The individual and the Department must agree in writing to the determination of years of prior probationary service.

Let n be the years of an individual's prior probationary service. The procedures of section III are modified by replacing the probationary period of 7 years by a probationary period of $p = 7 - n$ years. An Assistant Professor who begins his $(p-1)$ st year of service must either a) be promoted to Associate Professor during the $(p-1)$ st year or b) be informed by May 1 of his $(p-1)$ st year that the p -th year is terminal.

- V. Temporary appointments (such as lecturers or visiting appointments) may be made and all the provisions of the appointment must be agreed to in writing by the Department and the individual prior to the beginning of the appointment.

Appointments at the rank of instructor are normally not made. In those exceptional cases when considering tenure at the instructor rank, the criteria for granting tenure are the same as those for promotion as described in Section IX.

- VI. The Department considers the Professorship a rank of distinction, accorded for the achievement of national stature in an area of Computer Science. It may recommend an individual for promotion to that rank whenever it judges such stature to have been attained.

The Department views not only the rank of Professor, but also the rank of Associate Professor as a terminal rank.

- VII. An initial appointment may be made without tenure at the ranks of Associate Professor and Professor. The probationary periods are 4 years and 3 years, respectively. The criteria for tenure at these ranks are the same as for promotion to these ranks.

- VIII. The Department Promotions Committee (primary committee) is defined by University regulations as the set of full professors of the Department. This committee initiates all recommendations for promotions and tenure. It shall also recommend to the Head of the Department the reappointment and termination of Assistant Professors.

- IX. The University generally examines performance in three distinct areas in its considerations for promotion. These areas are: teaching, scholarly work and research, and service (to the department, university or community). Each individual's case is considered in depth; there are no fixed criteria for evaluation or decision. Assistant Professors should note that it is unlikely that they will be promoted if their performance in teaching is judged to be inadequate or if their performance in scholarly work and research fails to show promise of achieving national distinction.

- X. The University's policy on promotion and tenure can be found in the Faculty Handbook.

5.2 Department Procedures

Adopted April 5, 1993, Revised: May 1995

The Primary Committee (PC) of the Computer Sciences Department has adopted the following procedures for the evaluation of faculty for promotion and retention.

A. Contract Renewal, Time: Spring

Actions:

1. The candidate gives a seminar which the members of PC are encouraged to attend.
2. A three member subcommittee is appointed.
3. A departmental teaching evaluation takes place.
4. Presentation of subcommittee report which includes analysis of the work, outside evaluation, and teaching evaluation, etc.
5. Discussion and Vote.

B. Yearly Evaluation of Assistant Professors, Time: Spring

Actions:

1. One member of PC presents candidates vita (in pre-approved format) and his/her research progress report.
2. Discussion.
3. The Head generates a report for the candidate that consists of a summary of the PC's reaction and Head's assessment.

C. Early Evaluation of Assistant Professors for Promotion and Tenure, Time: Spring

(At least one year before the regular promotion time) *Actions:*

1. Appoint a three member subcommittee, get outside input, departmental teaching evaluation, etc.
2. Presentation of the evaluation report to PC.
3. Vote for early promotion consideration. Support from 2/3 of the primary committee members is required for early promotion. In the event of a negative decision for early promotion, the Head generates a report for the candidate summarizing the results of this evaluation.

D. Decision for Promotion to Full Professor, Time: Spring

Actions:

1. A nomination is needed by the department or a member of the primary committee or the candidate.
2. Persons with tenure who are not nominated by a member of the Primary Committee may nominate themselves and have their cases for promotion considered by the Primary Committee, if they have not been considered for promotion during the last three years. In this case the formal promotion procedure for the Fall is applied automatically without further action.
3. The department solicits preliminary letters of recommendation from three individuals outside the university.
4. PC appoints a subcommittee to review work, outside evaluation, teaching, etc.
5. Report is presented to the PC by the chairperson of the subcommittee.
6. Vote. Support of the majority of the members of the PC is required for applying the formal promotion procedure.

E. Promotion to Associate Professor or Tenure

The formal promotion procedure is applied during the mandatory year.

F. Formal Promotion Procedure, Time: Fall

Actions:

1. Appoint a three member subcommittee. (Use the spring subcommittee if possible.)
2. Normally outside letters are solicited in May.
3. Early fall evaluation that consists of a) subcommittee report, b) presentations, c) open discussion for each individual candidate.
4. Draft of promotion document is handed to the PC by the subcommittee at least five (5) weeks before the next step.
5. Meet to have a final discussion and vote for all candidates (absentee ballots are accepted and the names of the absentees announced in the meeting). The number of abstentions should be included in the final document.
6. Departmental Administrative Assistant keeps a box for collecting comments for each individual case.

7. Final promotion document is prepared by the department head with the advice of the sub-committee.

Chapter 6

SECRETARIAL SUPPORT

Adopted July, 1983, Revised: June, 1993; July, 1995

The current operation is to have a secretarial pool plus some faculty with assigned secretaries. The guidelines for this operation follow:

- *Assigned Secretaries:* A secretary can be assigned extra duty for a faculty member if extra funds are provided. Assigned secretaries are expected to provide direct, personalized help of the following sorts:

Maintain files	Maintain address and phone number lists
Maintain calendar	Answer telephone
Learn UNIX files	Learn member's favorite UNIX word processor
Respond to routine mail	Run grader for courses
Type papers	Maintain "finger" .plan information

If a faculty member wants above normal secretarial support, then it must be paid for with additional charges to special accounts. The schedule of hours of pay per year for this additional support is given below.

quarter time	300 hours/year
half time	800 hours/year
3/4 time	1300 hours/year
full time	1900 hours/year

- *Secretarial Pool:* A faculty member without an assigned secretary can expect the following services:

Type letters	Type papers
Take phone messages	Duplication

In addition, certain secretaries are responsible for routine supply requests, computer accounts, travel and leave forms (the business office types these forms), and normal travel arrangements. Do not hesitate to use the secretarial pool; if the workload becomes too high to provide good service, the Department Head will attempt to increase the resources.

- *Special Needs:* If you need more help than normal, then special arrangements might be made. These are made on a case by case basis.

Chapter 7

SEED FUND FOR RESEARCH

Adopted 1986, Amount revised each Fall

The department has established a fund to support new research projects and to support initial efforts. The amount for the 1992/93 year is \$14,000. The guidelines for awards from this fund are:

- (a) Preference is given to faculty who are starting a new line of research or who are just establishing their research programs (such as new Ph.D.'s).
- (b) The amounts are expected to range from \$1,000 to \$6,000.

Example uses of these funds are: special equipment or software, travel to special conferences, visits to Purdue by collaborators or special professional support.

The procedure to apply for these funds is to write a short (1--2 pages) proposal and submit it by mid-October. The department head makes the awards with the advice of knowledgeable faculty members.

Chapter 8

TEACHING

8.1 Evaluation Committee Procedures

Adopted April, 1992, Revised June, 1993

- I. A two person committee is appointed to evaluate teaching and course preparation for the faculty member (XX). The duties of this committee include the following:

Spring semester:

- One member observes one class presentation of XX.
- The committee examines:
 - tests, homework and projects assigned,
 - grade distribution and dropout statistics,
 - course content compared with syllabus,
 - special features.

Fall semester:

- The other member observes one class presentation of XX,
- The committee examines course plan, grading plan, initial handouts, etc.,
- The committee prepares a short report summarizing their findings.

- II. XX provides write-ups (typically 1/2 to 1 page each) describing such things as:

- New courses organized,
- CS 490, 590 and 690 courses,
- Major revisions of courses, e.g., reorganization of material, adding laboratories, obtaining lab equipment,
- Individual studies courses directed,
- Thesis work directed.

8.2 Loads

Adopted 1991

The standard appointment in the department is the 10-month, academic-year appointment. Thus, normal salaries will be 10-month salaries. A faculty member with a 10-month appointment can augment his or her salary by securing supplementary summer salary through grants, contracts, or teaching, as specified by University regulations.

Faculty on 12-month, fiscal-year appointments automatically receive two months of summer salary. They are generally expected to earn summer salary by teaching or to provide salary savings to the department equal to two months salary. For example, faculty with fiscal-year appointments should expect to provide 18% salary savings from grants or contracts to cover the cost of summer salary; or to perform departmental duties during the summer, such as departmental administration or teaching of summer courses; or to provide 18% salary savings from other summer activities.

Basic Teaching Loads of Veteran Faculty

Faculty are expected to contribute significantly to teaching, service and research because excellence in all three areas is required in a first-rate department. The purpose of the following guidelines are to make faculty workloads more nearly equitable, to focus a professor's energies on those activities most in line with his or her interests and talents, and to reward each professor's contribution to the department.

The teaching load for any faculty can be reduced by assuming extra departmental duties based on a schedule adopted by an explicit departmental policy.

Faculty with tenure are normally expected to teach an average of 7.5 credit hours of courses per academic year (5 semester courses every two year). In addition, professors with this teaching load are expected to make scholarly contributions in several of the following areas during a three-year period:

- Publication or major revision of textbook or research monograph.
- Publication of articles in refereed journals.
- Award of external research grants.
- Major professor of student during year of completion of Ph.D. degree.
- Editor or Associate Editor for academic journal.
- Presentation of papers at national and international professional meetings.

If a tenured faculty member has a teaching load that is below the level expected of faculty in general, the faculty member is expected to either a) provide salary savings roughly in proportion to the reduction of teaching, or b) perform extra departmental duties commensurate with the reduction in teaching. The amount of salary savings or extra

department duties is uniform for all faculty and is set by an explicit policy statement. For example, one three-hour, semester course reduction in teaching might require salary savings of 25% of the academic year salary or require serving as chairman of the graduate committee for two years.

If a tenured professor focuses his or her contributions on the classroom, then the professor can expect to assume more than the normal teaching load. The professor also has the right to expect that his or her performance evaluations and salary increases will be heavily based on teaching contributions to the department. If a professor concentrates his or her efforts in the direction of teaching rather than research, the professor will be expected to increase his or her teaching load up to an average of six three-hour semester courses per academic year. As these faculty concentrate their professional activities in the classroom, more opportunities will be available to provide course releases for faculty members who are effectively directing a large part of their efforts to research or service. Also, a redistribution of teaching will allow untenured faculty to concentrate even more of their efforts on research and publication.

8.3 Load Reduction for Administrative Service

Adopted 1989, Revised June, 1993

1. Serving as Chair of the Graduate, Undergraduate, and Personnel Committees provides credit for 1/2 course taught. Other chair positions or extraordinary department tasks may be given 1/2 course credit if so evaluated by the department head.
2. Courses with high administrative duties (e.g., multiple recitations) may have higher credit as determined on a case by case basis.
3. Setting up new courses, especially laboratories, may receive extra teaching credit commensurate with the extra effort involved.
4. The Department Head sets his own teaching load.

8.4 Load Reduction Using Research Funds

Adopted 1987, Revised 1989

Faculty may receive reduced teaching loads by providing salary savings from research grants and contracts according to the following schedule.

Number of Courses Reduced	1/4	1/2	1	1.5	2
Percentage of Academic Year Salary	6%	12%	25%	42%	60%

As a practice (but not policy) faculty have been allowed to buyout odd fractions of courses according to this scale and use them at future times.

8.5 Selection of Courses Offered

Adopted 1989

The following priority criteria apply to the selection of graduate courses to be offered each year.

#1 Regular courses with substantial enrollments.

#2 Courses covered by qualifying exams.

#3A Courses serving a substantial area of concentration as measured by the number of faculty in the area. Examples: 590V, 615, 636, 690B.

#3B Enrollment. At least five students are required and seven are expected. Enrollments of 12 or above begin to give the course added priority.

#4 History of instructor in offering specialized courses. Generally, no more than one such course will be offered in a two year period by any faculty member. Rotation among interested faculty is expected for courses of priority #2 and #3A; repeated teaching will occur only in the absence of other faculty in the area requesting the course.

The Department Head and the Assistant to the Head for Student Services apply these criteria. All graduate courses taught receive equal teaching credit.

8.6 Instructor Absences from Classes

Adopted 1994

From time to time it is necessary for an instructor to miss classes. Justified reasons for this include illness, attendance at conferences, and participation in certain university activities. IT IS THE INSTRUCTOR'S RESPONSIBILITY TO SEE THAT CLASSES AND STUDENTS ARE NOT DISRUPTED OR PENALIZED BY SUCH ABSENCES. The normal and best method to handle absences is to arrange for another faculty member to teach the class. This is often done on a "trading" basis.

It is NOT appropriate to cancel a class except to compensate for examinations given (typically in the evening) outside the regular class meeting times.

It is NOT appropriate to ask a student (e.g., the class TA) to substitute for you in your absence except for the administration of an examination, the discussion of the answers to an examination, the discussion of the outcomes of a project, and the like. If the student's native language is not English, the student's spoken English proficiency must be officially certified for teaching. The Assistant to the Head (Gorman) keeps records of these certifications.

When you arrange for someone to substitute for you in your absence, it would be helpful if you would tell the main office secretary (Daloris) who will be in charge. This will enable her to respond quickly and properly if it becomes necessary to reach the instructor or student in the class.

If you are prevented by an emergency from arranging for a substitute, call the Head (Rice), one of the Associate Heads (Dyksen and Atallah), or the Assistant to the Head (Gorman) if possible.